

RECORDS RETENTION SCHEDULE

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION Department of General Services		(2) AGENCY BILLING CODE 30651		(3) PAGE 1 OF 6 PAGES	
(4) DIVISION/ BRANCH/ SECTION Procurement Division/Office of Small Business, Certification & Resources		(5) ADDRESS 707 3 rd Street-First Floor West Sacramento, CA 95605			
CHECK THE APPROPRIATE BOX					
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]					
(7) <input checked="" type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.)					
(8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)					
NEW SCHEDULE INFORMATION (If applicable)		(9) SCHEDULE NUMBER SBO 2005	(10) SCHEDULE DATE 8/22/2005	(11) NUMBER OF PAGES 6	(12) CUBIC FEET (Total Schedule) 838
PREVIOUS SCHEDULE INFORMATION (If applicable)		(13) SCHEDULE NUMBER DGS/PD-01-15	(14) APPROVAL NUMBER 98-178	(15) APPROVAL DATE (S) 10/26/2001	(16) PAGE NUMBER(S) REVISED - 6
(17) MISSION/FUNCTIONAL STATEMENT : The Office of Small Business Certification and Resources effectively administers the Small Business and Disabled Veteran Business Enterprise Certification Programs enabling businesses to be more competitive in the state contracting environment.					
PART I – AGENCY STATEMENTS					
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. <i>For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.</i>					
(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS <i>Marcel Dennis</i>		(19) TITLE <i>Chief, Small Bus + DVBE Services</i>		(20) PHONE NUMBER <i>916 375-4945</i>	(21) DATE SIGNED <i>8/29/05</i>
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.					
(22) SIGNATURE- RECORDS MGMT. ANALYST <i>Melodie Cato</i>	(23) CLASSIFICATION <i>Records Manager II</i>	(24) NAME (Printed or Typed) <i>Melodie Cato</i>		(25) PHONE NUMBER <i>(916) 375-4935</i>	(26) DATE SIGNED <i>8/29/2005</i>
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)					
(27) SIGNATURE –CalRIM CONSULTANT <i>John E. Ferr</i>		(28) APPROVAL NUMBER <i>05-129</i>		(29) DATE SIGNED 8/26/2005	(30) EXPIRATION DATE 8/26/2010
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)				FOR ARCHIVES' STAMP	
THE ATTACHED RECORDS RETENTION SCHEDULE:					
(31) <input type="checkbox"/> Contains no material subject to further review by the California State Archives					
(32) <input checked="" type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)					
(33) SIGNATURE - CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE <i>Linda Johnson, Archivist</i>				(34) DATE SIGNED <i>9/1/05</i>	

05-129

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

1.	1		FISCAL Budget Change Proposals	P		2		3	5		
2.	3		Audits, Monthly Budget/Income and Expense Reports	P		2		3	5		
3.	1		Purchase Orders, Paid Invoices, other expenditures	P		2		5	7		Cut-off at the end of each FY then hold in the office for 2 additional years After 2 years transfer to State Records Center (SRC) and hold for 5 additional years. Authority: CalRIM Web Site, Fiscal Records.
4.	1		Correspondence file, containing all sorts of communications	P		2		3	5		Cut-off at the end of each CY. Hold for 2 years in the office, transfer to SRC and hold for an additional 3 years.
5.	1		Cal-Card Documentation	P		2		5	7		Cut-off at the end of FY in which created, hold for two years in the office then transfer to the SRC for five years or until audited whichever is sooner. Authority: CalRIM website, Item 15 through 15C whichever occurs sooner.
6.			PERSONNEL Attendance Records (automated system)	M		4			4	X	
7.	1		Training Records	P		Active			Active		Information copy only. Record copy maintained by DGS Training Unit.
8.	1		Probation Reports	P		Active			Active	X	Retain all 3 reports until superseded by the first performance appraisal. If adverse action is involved, retain for three years.
9.	1		Performance Appraisal/Individual Development Plan	P		Current			Current	X	Retain as "Current" until superseded by the next report. If adverse action is involved, retain for 3 years.
10.	1		Request for Personnel Action: Duty Statements, Specifications, organizational Charts	P		Current			Current		Current until superseded.
11.	7		Personnel Files	P		Active			Active	X	Retain as active until incumbent is retired, or reassigned to another State entity. (Not to be confused with the official personnel file maintained by PERS).

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12.	1		Labor relations	P		Current +1		3	Current +4		Maintain in office until no longer needed for reference then hold for one additional year and transfer to the SRC for three additional years. Confidential destruction.
13.	2		Hiring related information, includes correspondence generated as a result of the hiring.	P/M		Active +2		3	Active +5		Maintain as active until no longer needed for reference then transfer to the SRC for 3 additional years.
14.	740		SB/DV Certification Files (includes tx forms and applications)	P		Active		3	Active +3		Maintain in office until no longer required for certification verification then transfer to SRC and hold for an additional 3 years. Confidential destruction.
15.	5		Prompt Payment Program	P		Active +1		4	Active +5		Maintain in office until no longer needed for reference then transfer to SRC for an additional 4 years.
16.	1		Legislation, policies, bill tracking	P		Active +1		4	Active +5		Maintain in office until no longer needed for reference then transfer to SRC for 3 years.
17.	2		Consulting Services Contract Report	P		Active		5	Active +5		Maintain in office until no longer needed for reference then transfer to SRC for 5 additional years.
18.	8		Admin and misc. participation program documents (Annual reports, certification teams, certification review teams, SCAN, etc.)	P		2		3	5		
19.	4.5		Small Business Lists	P/M		Current		5	Current +5		Maintain lists in office until superseded by a new list then transfer to SRC for five additional years.
20.	1		Status Check Forms	P		2		3	5		Maintain in office for 2 years then forward to SRC for three additional years.
GENERAL OFFICE RECORDS											
21.	1		Records Retention Schedule (STD 73)	P		Current			Current		Retain as "Current" until revised, superseded or rescinded.
22.			Records Transfer Lists (STD 71)	P		Current			Current		Retain as "Current" until all records listed have been either destroyed, retired permanently, transferred to State Archives, or when no longer needed, whichever is later.
23.			State Records Center Reference Request (STD 76)	P		Active			Active		Retain as "Active" until request for referral or withdrawal is completed.
24.	1		Editorial/Reference file data	P		2		3	5		Non-confidential destruction.

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25..	8		Annual Reports, Publications (except register), directories	P		2		3	5		
26..	1		Lease files, correspondence and reports pertaining to leasing activity	P		2		3	5		Cut-off at the end of each FY and file in annual groups until eligible for transfer to the SRC.
27.	1		Telecommunications service requests and related documentation	P		2		3	5		Cut-off at the end of each FY and hold in annual groups until eligible for transfer to the SRC
28.	1		Property Inventories/Transit storage documentation	P		Active +2		2	Active + 4 years		Retain at least two years from end of fiscal in which prepared. After two years, destroy after audit or four years whichever occurs first.
29..	1		Conference material consisting of agenda's, attendee lists, guest speaker information and other related documentation.	P		2		3	5		Cut-off at the end of each CY and hold until eligible for transfer to SRC.
30.	1		Contracts, interagency agreements	P		Current +2		3	Current +5		Cut-off at the end of each FY and hold until eligible for transfer to SRC>
31.	1		Transportation reports, arrangements, related correspondence	P/M		2		3	5		
32.	30		General office memorandum, correspondence	P		2		3	5		Purge of non-essential materials, cut-off at the end of each CY.
33.	4		Quality team, consisting of agenda, goals, studies, and status of projects.	P		2		3	5		Cut-off at the end of each CY.
34.	4		Performance measures, consisting of studies and other supporting documentation	P		Current +2		3	Current +5		Maintain in office until superseded by more current data.
35.	1		Front Desk Records, consisting of requests for information, logs (mail, status checks)	P		Active +2			Active +2		Cut-off at the end of each CY, hold in office for an additional two years to support work studies.
36.	1		CAL-Card Documentation	P		Active +2		5	Active +7		Cut-off at end of FY in which created, hold for two years in office then transfer to SRC for an additional five years or until audited whichever is sooner. Confidential destruction.
37.			E-mail records that are classified as official records are subject to this retention schedule and must be retained for the same period of time as the records series that most closely matches the subject matter contained within the new e-mail message.	E		See Column 40			See Column 40		

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38.

39

40.

NOTIFY ARCHIVES

Transitory E-mail consists of electronic messages that are created primarily for the communication of informal information as opposed to the perpetuation of formalization of knowledge. Destroy transitory e-mail when the have served their purpose.

Regulations (Record sets of regulations which have statewide applicability.). Consists of original copy used for printing, associated printing documents; printed copy of publications; and background material used in the coordination and development of the regulation, and any other documentation that led to the formulation and/or implementation of the regulation.

Web Notice (All subjects.)

AUDIT TRAIL FOR ITEMS REPORTED ON
PREVIOUS SCHEDULE BUT NOT CARRIED
FORWARD TO THIS REVISION:

Reference previous schedule Approval Number 98-178.

Item 32, Affirmative Action/EEO Correspondence - NO
LONGER MAINTAINED.

Renumbered Items:

Item 15 renumbered as Item 14.

18 renumbered as 15

19 renumbered as 16

20 no longer needed.

21 renumbered as 17

22 no longer needed.

25 renumbered as 19

26 renumbered as 20

27 no longer needed.

28 no longer needed

29 no longer needed

30 no longer needed

31 no longer needed

32 no longer maintained

33 broken down and renumbered as 21, 22, 23

34 renumbered as 24

35 renumbered as 25

36 renumbered as 26

37 renumbered as 27

38 renumbered as 28

now #39

transferred
transferred

transferred

M

P

M

See
Column
40

Perm.

Current
+2

See
Column
40

Perm.

Current
+2

Hold latest version in the office until superseded then transfer to the State Records Center for permanent retention.

Retain as "Current" until superseded, revised or rescinded. Then hold for an additional two years for audit purposes.

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			39 renumbered as 29 40 renumbered as 30 41 renumbered as 31 42 renumbered as 32 43 renumbered as 33 44 renumbered as 34 (relabelled as computer admin records – LAN, WAN, etc.) 45 renumbered as 35								

* Provide total of office and departmental